

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.
CF/007 ReAPPLICATION NO.
09/859,661FIFTH SUPPLEMENTAL INFORMATION DISCLOSURE
STATEMENT BY APPLICANTSAPPLICANTS
Fraser et al.CONFIRMATION
NO. 3933FILING DATE
May 17, 2001GROUP
3622

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER INITIAL	
<i>gm</i>	Memorandum from Bob McCausland to Larry Gomes, October 16, 1990, pgs. 2
<i>gm</i>	Memorandum from Bob McCausland to Larry Gomes, March 6, 1991, pgs. 2.
<i>gm</i>	Memorandum from Bob McCausland to Larry Gomes, April 3, 1991, pgs. 2.
<i>gm</i>	Memorandum from Bob McCausland to Larry Gomes, April 5, 1991, pgs. 2.
<i>gm</i>	Memorandum from Bob McCausland to Larry Gomes, April 12, 1991, pg. 1.
<i>gm</i>	Memorandum from Bob McCausland to Mike Pires, April 19, 1991, pgs. 2.
<i>gm</i>	Memorandum from Bob McCausland to Larry Gomes, April 22, 1991, pg. 1.
<i>gm</i>	Memorandum from Bob McCausland to Mike Pires, April 24, 1991, pg. 1.
<i>gm</i>	Memorandum from Bob McCausland to Larry Gomes, May 30, 1991, pg. 1.
<i>gm</i>	Memorandum from Bob McCausland to Larry Gomes, June 12, 1991, pg. 1.
<i>gm</i>	Memorandum from Bob McCausland to Larry Gomes, June 13, 1991, pg. 1.
<i>gm</i>	Memorandum from Bob McCausland to Larry Gomes, July 15, 1991, pgs. 3.
<i>gm</i>	Memorandum from Bob McCausland to Larry Gomes, July 18, 1991, pgs. 8.
<i>gm</i>	Memorandum from Bob McCausland to Larry Gomes, February 5, 1992, pgs. 17.
<i>gm</i>	Chats Advances at Chapdelaine, Bondweek, Vol. X, No. 1, January 8, 1990, at 7.
<i>gm</i>	Voice Recognition Option Added to Chats, Bondweek, Vol. X, No. 2, January 15, 1990 at 4-5.
<i>gm</i>	Chapdelaine's Trading System Up and Running, Bondweek, Vol. X, No. 14, April 9, 1990 at 10.
<i>gm</i>	EJV Says Its Trading System Will Recognize Voice Orders, Bondweek, Vol. XI, No. 10, March 11, 1991 at 9.
<i>gm</i>	Chapdelaine Notches 38 Participants on Chats, Bondweek, Vol. X, No. 26, July 2, 1990 at 8.

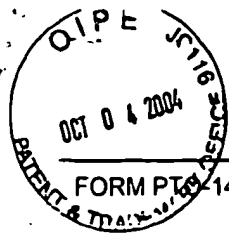
EXAMINER

James W. MYHRE

DATE CONSIDERED

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EXAMINER INITIAL	
<i>JW</i>	<i>Electronic Joint Venture Reportedly Chats with Thomson Financial</i> , Bondweek, Vol. X No. 10, March 12, 1990 at 10.
<i>JW</i>	<i>EJV Fills Out Management Team</i> , Bondweek, Vol. X, No. 36, September 10, 1990 at 11-12.
<i>JW</i>	<i>CBOT's Absence Noted in Automated OTC Mart, but not Greatly</i> , Bondweek, Vol. X, No. 51, December 24, 1990 at 7.
<i>JW</i>	<i>EJV to go on Line in Three Months</i> , Bondweek, Vol. XI, No. 8, February 25, 1991 at 2.
<i>JW</i>	<i>EJV Snares Sanction for Autotrade System</i> , Bondweek, Vol. XI, No. 16, April 22, 1991 at 13.
<i>JW</i>	<i>EJV to Pilot Its First Analytics System Next Month</i> , Bondweek, Vol. XI, No. 20, May 20, 1991 at 10.
<i>JW</i>	<i>Some Bills Trading Gets Done on EJV's System</i> , Bondweek, Vol. XI, No. 22, June 3, 1991 at 12.
<i>JW</i>	<i>EJV's Analytics Product is 6-9 Months from Market</i> , Bondweek, Vol. XI, No. 26, July 1, 1991 at 10.
<i>JW</i>	<i>Univu Pilot is up at EJV's Partners, Plus One Non-Partner</i> , Bondweek, Vol. XI, No. 32, August 12, 1991 at 8.
<i>JW</i>	<i>EJV Aims to Launch Analytics Service by Year End and Long Bond Added to EJV's Treasury Bond-Trading System</i> , Bondweek, Vol. XI, No. 38, September 23, 1991 at 9.
<i>JW</i>	<i>EVJ Pre-Selling Its Analytics Product</i> , Bondweek, Vol. XI, No. 50, December 16, 1991 at 11.
<i>JW</i>	<i>Trading Tech Secrets: A Chat with Dexter Senft of EJV Partners</i> , Bondweek, Vol. XII, No. 10, March 9, 1992 at 8.
<i>JW</i>	<i>CBJ-EJV Deal said to Please Feds</i> , Bondweek, Vol. XII, No. 12, March 23, 1992 at 7.
<i>JW</i>	Bondweek, Vol. XII, No. 20, May 18, 1992 at 8.
<i>JW</i>	<i>CBOT Eyes Screen-Based Repo, Basis Trading with EJV System</i> , Bondweek, Vol. XII, No. 22, June 1, 1992 at 8.
<i>JW</i>	<i>Discontent Reported Among Some EJV Backers</i> , Bondweek, Vol. XII, No. 24, June 15, 1992 at 11-12.
<i>JW</i>	<i>UNIVU: EJV Begins Filling in the Dots</i> , Bondweek, Vol. XII, No. 30, July 27, 1992 at 10.
<i>JW</i>	<i>Merrill Mulls EJV Participation</i> , Bondweek, Vol. XII, No. 34, August 24, 1992 at 1 and 11.
<i>JW</i>	<i>CBOT Members Approve EJV Deal and First Boston to Offer Government Bond Trading System on Bloomberg</i> , Bondweek, Vol. XII, No. 38, September 21, 1992 at 1, 8, and 11.
<i>JW</i>	Bondweek, Vol. XII, No. 40, October 5, 1992 at 8.
<i>JW</i>	<i>Three Tech Managers Leave EJV...As Company Retools for Univu Rollout</i> , Bondweek, Vol. XII, No. 42, October 19, 1992 at 8.
<i>JW</i>	<i>Liffe Plans £1.25 Million Upgrade of its After-Hours System</i> , Bondweek, Vol. XII, No. 46, November 16, 1992 at 11.

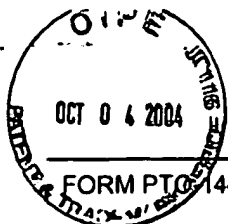
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<i>gm</i>	Bondweek, Vol. XIII, No. 5, February 8, 1993 at 8.
<i>gm</i>	<i>Liberty in Talks to Join EJV</i> , Bondweek, Vol. XIII, No. 10, March 15, 1993 at 2.
<i>gm</i>	<i>Liberty, EJV Debut Joint Venture</i> , Bondweek, Vol. XIII, No. 34, August 30, 1993 at 2.
<i>gm</i>	Advertisement in Bondweek, Vol. XV, No. 4, January 30, 1995, <i>Starting March 1, The Muni Bond Futures Contract will be an Even Better Trading Tool.</i>
<i>gm</i>	<i>EJV Develops Windows-Based Software to Access F.I. Data</i> , Bondweek, Vol. XV, No. 46, November 20, 1995 at 6.
<i>gm</i>	Advertisement in Bondweek, Vol. XVII, No. 8, March 3, 1997, <i>CBOT Yield Curve Spreads Because a Lot Can Happen in a Short Amount of Time.</i>
<i>gm</i>	Advertisement in Bondweek, Vol. XVII, No. 17, May 5, 1997, <i>The T-Bond. And Now the Bond Open Outcry Trading in the World's Two Largest Bond Contracts at the CBOT.</i>
<i>gm</i>	Chicago Board Brokerage User Manual, 27 pages.
<i>gm</i>	Nicholas Brady, Richard Breeden, and Alan Greenspan, <i>Joint Report on the Government Securities Market</i> , January 22, 1992.

LITIGATION DOCUMENTS

EXAMINER INITIAL	
<i>gm</i>	eSpeed, Inc. et al., v. Brokertec USA L.L.C., et al., C.A. No. 03-612 (KAJ), SUPPLEMENTAL OPENING BRIEF IN SUPPORT OF MOTION BY PLAINTIFFS eSPEED, INC., CANTOR FITZGERALD, L.P., AND CFPH, L.L.C. FOR PRELIMINARY INJUNCTION.
<i>gm</i>	eSpeed, Inc. et al., v. Brokertec USA L.L.C., et al., C.A. No. 03-612 (KAJ), DEFENDANTS' PROPOSED FINDINGS OF FACT AND CONCLUSIONS OF LAW.
<i>gm</i>	eSpeed, Inc. et al., v. Brokertec USA L.L.C., et al., C.A. No. 03-612 (KAJ), PLAINTIFFS' MOTION FOR REARGUMENT ON CLAIM CONSTRUCTION.
<i>gm</i>	eSpeed, Inc. et al., v. Brokertec USA L.L.C., et al., C.A. No. 03-612 (KAJ), OPINION.
<i>gm</i>	eSpeed, Inc. et al., v. Brokertec USA L.L.C., et al., C.A. No. 03-612 (KAJ), ORDER.

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